

ANNOUNCEMENT OF FEDERAL FUNDING OPPORTUNITY

EXECUTIVE SUMMARY

- **Federal Agency Name:** Economic Development Administration (EDA), Department of Commerce
- **Funding Opportunity Title:** *FY 2011 University Center Economic Development Program Competition*
- **Announcement Type and Date:** Initial announcement of Federal funding opportunity (“FFO”) dated March 31, 2011.
- **Catalog of Federal Domestic Assistance (CFDA) Number:** 11.303, Economic Development – Technical Assistance
- **Dates:** The deadline for receipt of applications is June 30, 2011. Applications must be received in the Chicago Regional Office by 5:00 p.m. CT on June 30, 2011. Applications must be received in the Philadelphia Regional Office by 5:00 p.m. ET on June 30, 2011. Applications received after the applicable closing date and time will not be considered for funding. The closing date and time applies to paper and electronic submissions. The date and time that an application will be deemed to be electronically received will be determined in accordance with the electronic submission instructions provided at www.grants.gov for this FFO. Applicants are advised to carefully read the application and submission information provided in section IV. of this announcement.
- **Funding Opportunity Description:** This FFO announces the availability of funding for EDA’s FY 2011 University Center Economic Development Program Competition. EDA solicits competitive applications from accredited institutions of higher education and from consortia of accredited institutions of higher education in, and programs targeting, only the following geographic areas served by EDA’s Chicago and Philadelphia Regional Offices:

Chicago Regional Office	Serves: Illinois, Indiana, Michigan, Minnesota, Ohio, Wisconsin, and Muscatine and Scott counties in Iowa
Philadelphia Regional Office	Serves: Connecticut, Delaware, District of Columbia, Maine, Maryland, Massachusetts, New Hampshire, New Jersey, New York, Pennsylvania, Puerto Rico, Rhode Island, Vermont, Virginia, U.S. Virgin Islands, and West Virginia

- **Informational Teleconferences:** For prospective applicants, the Chicago regional office will hold an informational teleconference on April 18, 2011, at 10:00 a.m. CT. The

Philadelphia regional office will hold an informational teleconference on April 11, 2011, at 10:00 a.m. ET. Please refer to section IV.D. of this FFO for the teleconference registration requirements and protocols.

- **Addresses and Designated Points of Contact:**

1. Chicago Regional Office

FY 2011 University Center Program Competition
Economic Development Administration
Chicago Regional Office
111 North Canal Street, Suite 855
Chicago, IL 60606-7208

Designated Contact: Robin Bush, 312-353-8143, Rbush@eda.doc.gov

2. Philadelphia Regional Office

FY 2011 University Center Program Competition
Economic Development Administration
Philadelphia Regional Office
The Curtis Center, Suite 140 South
601 Walnut Street
Philadelphia, PA 19106-3821

Designated Contact: Paul Matyskiela, 215-597-8733, PMatyski@eda.doc.gov

- **Award Notification:** Subject to the availability of funding, successful applicants should expect to receive grant awards within approximately 60 days from the application closing date and time(s) set out in this FFO. The anticipated award will have an initial funding period of twelve-months (as part of a five-year project period) with an estimated start date on or about August 1, 2011. See section VI.A. of this FFO for award notification information.

FULL ANNOUNCEMENT TEXT

I. Funding Opportunity Description

A. What is the purpose of the University Center Economic Development Program?

EDA's mission is to lead the Federal economic development agenda by promoting innovation and competitiveness, preparing American regions for economic growth and success in the worldwide economy. EDA fulfills this mission through strategic investments and partnerships that create the regional economic ecosystems required to foster globally competitive regions throughout the United States. The "economic ecosystem" is a multifaceted concept which links together a highly networked regional talent pool; innovation infrastructure (including tangible and non-tangible infrastructure); and research and science support systems, to cultivate innovation and regional collaboration. Innovation is the key to global competitiveness, the creation of new and better jobs, a resilient economy, and the attainment of national economic goals. Regional collaboration is essential for economic recovery because regions are the centers of growth and competition in the new global economy, and regions that work together will fare better than those that do not. Infusing both innovation and collaboration into America's regions has the potential to help communities create and retain higher-wage and sustainable jobs, leverage the flow of private capital, encourage economic development, and strengthen America's ability to compete in the global marketplace.

EDA recognizes that institutions of higher education are critical players in the development of competitive and vibrant economies. Universities leverage assets – such as faculty, staff, students, research and proof of concept centers, laboratories, and high speed broadband networks – to drive regional economic development through the commercialization of research, the transfer of ideas into products and services, and the support of regionally-identified, bottom-up strategies that help support business expansion and job creation.

The purpose of EDA's University Center Economic Development Program (also referred to in this announcement as the University Center program) is to assist institutions of higher education and consortia of institutions of higher education in establishing and operating University Centers specifically focused on leveraging university assets to build regional economic ecosystems that support high-growth entrepreneurship. EDA-sponsored University Centers support regional economic strategies through accelerated research and technology commercialization targeting industry sectors that have the potential to generate high-skilled jobs. In addition, University Centers collaborate with other EDA partners by providing resources to implement regional strategies that support job creation, the development of high-skilled regional talent pools and business expansion in the region's innovation clusters¹. These resources include feasibility studies, market research, economic impact analyses, and other technical assistance to help communities target and develop a skilled workforce.

¹ Regional innovation clusters are specific geographically-bounded, active networks of similar, synergistic or complementary organizations which leverage a region's unique competitive strengths to create jobs and focus on broader prosperity.

Since FY 2004, EDA has administered the University Center program as a competitive multi-year program. As presented in the table below, EDA holds University Center program competitions in two of its six regional offices each fiscal year. In FY 2011, EDA is holding the competition in its Chicago and Philadelphia Regional Offices.

FY 2005, 2008, 2011 (this competition)	Philadelphia Regional Office	Serves: Connecticut, Delaware, District of Columbia, Maine, Maryland, Massachusetts, New Hampshire, New Jersey, New York, Pennsylvania, Puerto Rico, Rhode Island, Vermont, Virginia, U.S. Virgin Islands, and West Virginia
	Chicago Regional Office	Serves: Illinois, Indiana, Michigan, Minnesota, Ohio, Wisconsin, and Muscatine and Scott counties in Iowa
FY 2006 and 2009 (next competition in FY 2012)	Atlanta Regional Office	Serves: Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, and Tennessee
	Seattle Regional Office	Serves: Alaska, Arizona, American Samoa, California, Guam, Hawaii, Idaho, Republic of Marshall Islands, Federated States of Micronesia, Nevada, Northern Mariana Islands, Oregon, Republic of Palau, and Washington
FY 2004, 2007 and 2010 (next competition in FY 2013)	Austin Regional Office	Serves: Arkansas, Louisiana, New Mexico, Oklahoma, and Texas
	Denver Regional Office	Serves: Colorado, Iowa (excluding Muscatine and Scott counties), Kansas, Missouri, Montana, Nebraska, North Dakota, South Dakota, Utah, and Wyoming

EDA does not anticipate creating or funding any additional University Centers outside of this competitive solicitation, unless a University Center operator withdraws from the program or does not perform to EDA's satisfaction. In such cases, the appropriate EDA regional office may choose to hold an intervening competition.

B. What are the goals and objectives of the FY 2011 University Center Program competition?

EDA encourages the submission of applications that will create and nurture regional economic ecosystems through applied research and development, technology commercialization, and targeted activities that cultivate entrepreneurship. A regional economic ecosystem is comprised of three main components:

1. A highly networked regional talent pool, with specialized expertise relevant to the region's innovation clusters (with connections along the supply chain and across disciplines, so that researchers, academics, investors, suppliers, and entrepreneurs can efficiently share ideas and best practices);
2. A support system for researchers and scientists seeking to turn their discoveries into marketable goods and services, including business counseling, incubation programs and proof-of-concept centers; and
3. Innovation infrastructure (which includes both tangible and non-tangible types of infrastructure) necessary to support innovation such as physical infrastructure, education, workforce development, and financial infrastructure.

EDA recognizes that the nation's universities—with their unparalleled access to researchers and academics in a variety of science and engineering disciplines, top-notch business schools, and world-class laboratories and research facilities—are uniquely poised to help advance regional economic ecosystems. Additionally, University Centers facilitate environments conducive to trade and global exports by providing comprehensive trade services for businesses to connect to international markets. These vital services assist businesses bringing products to international markets and improve the competitiveness of firms in the region. EDA seeks to fund University Centers that identify concrete activities that will be engaged in during the project period to support relevant components of a regional economic ecosystem.

In addition, EDA seeks University Center program applications that will benefit distressed communities² by linking these communities to larger, more vibrant regional economies. EDA encourages projects that present a clear plan for collaborating with and assisting other EDA investment partners, recipients, and stakeholders, including EDA-funded Economic Development Districts (EDDs); provide for regional, Statewide and multi-State programs; and creating synergies with EDA's Public Works, Economic Adjustment Assistance, and Partnership Planning programs.

To obtain the maximum effect of available program funds, EDA will strive to fund University Centers that offer the widest possible geographic coverage in the States and territories covered by the Chicago and Philadelphia Regional Offices, and offer a full range of economic development research and technical assistance services to EDA regional partners (e.g., District Organizations, which are EDA-designated organizations that lead and provide services to EDDs as defined at 13 C.F.R. § 304.2). Services must be tailored appropriately to the region's needs and each sponsoring institution's (or consortium's) strengths. EDA will strive to avoid funding duplicative services among selected University Centers.

² Distress may exist in a variety of forms, including high levels of unemployment, low income levels, large concentrations of low-income families, and significant declines in per capita income because of large numbers (or high rates) of business failures, sudden major layoffs or plant closures, military base closures, natural or other major disasters, depletion of natural resources or reduced tax bases, or substantial loss of population because of the lack of employment opportunities.

EDA will not fund University Centers that operate in isolation from other resources at the institution of higher education (or consortium) receiving the award. University Center programs not focused on economic development activities that foster higher-skill, higher-wage job creation and private sector investments are encouraged to seek financial support from other sources.

C. Program authority

EDA's authorizing statute is the Public Works and Economic Development Act of 1965, as amended (42 U.S.C. § 3121 *et seq.*) (PWEDA). The specific authority for the University Center Economic Development Program is section 207 of PWEDA (42 U.S.C. § 3147), which authorizes EDA to make grants for the establishment of University Centers. EDA's regulations at 13 C.F.R. parts 300–302 and subpart B of 13 C.F.R. part 306 set forth the general and specific regulatory requirements applicable to the University Center Program.

EDA's regulations are codified at 13 C.F.R. chapter III. The regulations and PWEDA are accessible on EDA's website at www.eda.gov/InvestmentsGrants/Lawsreg.xml.

II. Award Information

A. How much funding is available?

Note: As of March 31, 2011, the full amount of FY 2011 appropriations is not available and EDA is operating under the authority of FY 2011 continuing appropriations amendments (Pub. L. No. 112-6, 125 Stat. 23 (March 18, 2011)). The continuing resolution allocates funding based on FY 2010 funding levels, but on a pro-rated basis, until the enactment of final FY 2011 appropriations. Assuming EDA receives final FY 2011 appropriations of approximately the same level as in FY 2010, the following information may prove useful for planning purposes.

In FY 2010, funding appropriated under the Consolidated Appropriations Act, 2010 (Pub. L. No. 111-117, 123 Stat. 3034 at 3114 (2009)) made \$255,000,000 available for the following economic development assistance programs authorized under PWEDA and the Trade Act of 1974, as amended (19 U.S.C. § 2341 *et seq.*): (1) Public Works and Economic Development Facilities Program; (2) Economic Adjustment Assistance; (3) Global Climate Change Mitigation Incentive Fund (GCCMIF); (4) Planning; (5) Local Technical Assistance; (6) University Center Economic Development Program; (7) Research and Evaluation; (8) National Technical Assistance; and (9) Trade Adjustment Assistance for Firms. EDA expects funding levels for FY 2011 to be similar to FY 2010; however, the final amounts will not be known until Congress passes final FY 2011 appropriations.

The funding periods and funding amounts referenced in this competitive solicitation are subject to the availability of funds at the time of award, as well as to Department of Commerce and EDA priorities at the time of award. The Department of Commerce and EDA will not be held responsible for application preparation costs if the University Center

program fails to receive funding or is cancelled because of agency priorities. Publication of this FFO does not obligate the Department of Commerce or EDA to award any specific grant or cooperative agreement or to obligate all or any part of available funds.

For FY 2011, EDA expects to allocate approximately \$7.4 million to the University Center program. The amount of University Center program funding available for competition in FY 2011 is expected to be approximately \$1.1 million for the Chicago Regional Office and approximately \$1.4 million for the Philadelphia Regional Office. The remaining FY 2011 University Center program funds will be used to continue to support current University Centers selected during the FY 2009 and FY 2010 competitions in EDA's other four regional offices.

Annual awards for the University Centers selected in past years generally have been in the range of \$80,000 to \$200,000, although the Chicago and Philadelphia Regional Offices may choose to fund awards under this competition outside of these ranges. Subject to the availability of funding at the time of award, the funds allocated to the University Center program are anticipated to be available until expended.

B. What is the project period and the type of funding instrument used to make awards?

Under this competitive solicitation, EDA may, subject to the availability of funds, award grants to selected University Centers. The Chicago and Philadelphia Regional Offices will provide a five-year project period for each applicant selected for funding, with an initial funding period of one year. The selected University Centers will not have to compete for the second, third, fourth and fifth years of funding. Funding beyond the initial year shall be dependent upon the availability of funds, satisfactory performance, and satisfactory progress in achieving milestones and program goals set forth in the five-year scope of work, as determined by EDA and expressed in written notice.

Please note that effective with publication of this announcement, EDA is converting the University Center program to a five-year scope of work for the Chicago and Philadelphia Regional Offices only. Similarly, EDA will convert the project period for University Center participants to five years in connection with the next Seattle and Atlanta Regional Offices' competition in FY 2012, and with the next Denver and Austin Regional Offices' competition in FY 2013. Current recipients in these four regional offices remain subject to the three-year project period established in their current awards. Accordingly, current University Center operators in the service areas of EDA's Atlanta, Austin, Denver, and Seattle Regional Offices will not have to compete for continuation funding in FY 2011, subject to the availability of funds, satisfactory continuing performance, and satisfactory progress in achieving milestones and program goals set forth in their three-year scopes of work, as determined by EDA and expressed in a written notice. The Atlanta, Austin, Denver and Seattle Regional Offices will contact current University Center operators regarding the procedures for securing FY 2011 continuation funding.

C. Upon acceptance of an EDA award, what are the post-approval requirements?

Recipients under this announcement shall make themselves available for up to two presentations per year, at a time and place designated by EDA, and shall be required to provide EDA with an electronic copy of these presentations suitable for posting on EDA's website. Recipients also shall be required to participate in periodic University Center conference calls or webinars to share best practices and discuss the program's challenges and opportunities.

Recipients' performance will be subject to a peer review at least once every three years. Two weeks before the recipient's scheduled peer review, the University Center must provide EDA with an abstract of the original proposal, a copy of its presentation on the University Center's performance, and any relevant papers for dissemination to the peer review panelists. The recipient should be prepared to participate in a moderated discussion with these reviewers at the conclusion of its presentation.

In addition to periodic progress reports, recipients may be required to generate one or more reports analyzing the nature of the economy of the University Center's target region. Recipients are required to comply with all terms and conditions of the award.

III. Eligibility Requirements

A. Who is eligible to apply under this announcement?

An accredited institution of higher education, including a community college, or a consortium of accredited institutions of higher education is eligible to apply for and to receive funding under the University Center Economic Development Program. *See* section 3(12) of PWEDA (42 U.S.C. § 3122(12)) and 13 C.F.R. § 300.3. A university-affiliated research foundation also is eligible to apply for and to receive funding under this FFO, provided it demonstrates (e.g., a letter or other documentation from a university President or Chancellor) that it maintains the full and integral support of the university with respect to its economic development activities. For applicants applying as a consortium, one accredited institution must be identified as the lead agent that would have lead responsibility to EDA and to the other members of the consortium for implementing an award. A non-profit organization, in good standing and participating in the institution's proposed project in connection with an application under this FFO, may partner with a consortium; provided that, the organization itself is affiliated with and directed by an accredited institution of higher education.

Pursuant to this FFO, EDA is soliciting applications from accredited institutions of higher education and from consortia of accredited institutions of higher education to operate University Centers from applicants in (and programs targeting) only the following geographic areas served by the Chicago and Philadelphia Regional Offices:

Chicago Regional Office	Serves: Illinois, Indiana, Michigan, Minnesota, Ohio, Wisconsin, and Muscatine and Scott counties in Iowa
Philadelphia Regional Office	Serves: Connecticut, Delaware, District of Columbia, Maine, Maryland, Massachusetts, New Hampshire, New Jersey, New York, Pennsylvania, Puerto Rico, Rhode Island, Vermont, Virginia, U.S. Virgin Islands, and West Virginia

B. What is the cost sharing or matching share requirement?

Generally, the amount of the EDA award may not exceed 50 percent of the total cost of the project. Projects may receive an additional amount that shall not exceed 30 percent, based on the relative needs of the region in which the project will be located, as determined by EDA. *See* section 204(a) of PWEDA (42 U.S.C. § 3144) and 13 C.F.R. § 301.4(b)(1). The Assistant Secretary of Commerce for Economic Development has the discretion to establish a maximum EDA investment rate of up to one-hundred percent where the project (i) merits and is not otherwise feasible without an increase to the EDA investment rate; or (ii) will be of no or only incidental benefit to the recipient. *See* section 204(c)(3) of PWEDA (42 U.S.C. § 3144) and 13 C.F.R. § 301.4(b)(4).

In the application review process, EDA will consider the nature of the contribution (cash or in-kind) and the amount of the matching share funds. In-kind contributions, fairly evaluated by EDA, may provide the non-Federal share of the total project cost. *See* section 204(b) of PWEDA (42 U.S.C. § 3144) and section V.A.1. of this FFO. In-kind contributions, which may include contributions of space, equipment, and services, are eligible to be included as part of the non-Federal share of eligible project costs if they meet applicable Federal cost principles and uniform administrative requirements. Funds from other Federal agencies may be used as matching share funds only if authorized by statute that allows such use, which may be determined by EDA's reasonable interpretation of the statute. *See* the definition of "Local Share" in 13 C.F.R. § 300.3. The applicant must show that the matching share is committed to the project for the entire project period, will be available as needed, and is not conditioned or encumbered in any way that precludes its use consistent with the requirements of EDA assistance. *See* 13 C.F.R. § 301.5.

IV. Application and Submission Information

A. Obtaining application packages

Applicants may access the application package for this competitive solicitation electronically at www.grants.gov, or request a paper (hardcopy) application package by contacting the appropriate point of contact listed in section IV.E.2. of this FFO. EDA strongly encourages applicants to obtain and submit applications electronically.

B. Content and form of application submissions

Applicants must complete and submit the following components of an application package:

1. Form SF-424 - Application for Federal Assistance
2. Form SF-424A - Budget Information—Non-Construction Programs
3. Form SF-424B - Assurances—Non-Construction Programs
4. Form CD-511 - Certification Regarding Lobbying
5. Form SF-LLL - Disclosure of Lobbying Activities, if applicable.
6. Form ED-900 - Application for Investment Assistance. The first page of section A of Form ED-900 contains a list of all EDA programs along with the relevant sections that must be completed to apply under each. To apply under this competitive solicitation, the applicant first must select the box next to “University Center,” which will automatically populate the Form ED-900 with the required sections. The next step is to indicate whether the applicant is governmental or non-governmental. This determination will depend on the organizational form of the applicant. ***Please note*** that despite the instructions on Form ED-900, an applicant that is an accredited university, whether public or private, must select the box next to “Governmental.” Applicants that are non-profit organizations (including university-affiliated research foundations) must select the box next to “Non-governmental.” As it deems appropriate, EDA may determine that public universities in certain states should be treated as “Governmental” even if the universities utilize non-profit organizations to structure their relationship with Federal grant agencies. Non-governmental applicants must complete section D of Form ED-900 and include all documentation required in that section except as provided below. Once the accurate determination is made, the applicant must complete sections A, C, E, and J and Exhibit C, as directed, and, if required, section D.

In addition, the following modifications to the general application instructions for Form ED-900 apply and should be observed. Applicants are advised to read carefully as certain items have been waived.

- a. ***In general.*** Certain sections of Form ED-900 require general project information that may be included in the applicant’s Project Narrative, the requirements of which are detailed below. The applicant need not provide redundant information. When the applicant has provided sufficient detail in the Project Narrative, please note this by typing or writing “See Project Narrative” (a section reference to help pinpoint the corresponding Project

Narrative section would be helpful and is encouraged) in the response boxes corresponding to these sections.

- b. Section A.3 of Form ED-900. Applicants under this FFO are not required to submit a Comprehensive Economic Development Strategy (CEDS) referenced in section A.3 of Form ED-900. Applicants should type “Not required for a UC” in the box following the “If No” statement.
 - c. Section D.4 of Form ED-900. If the applicant is required to complete section D as a non-governmental applicant in accordance with the guidance provided above, the applicant is not required to submit a resolution (or letter signed by) an authorized representative of a general purpose political subdivision of a State acknowledging that it is acting in cooperation with officials of such political division. If the applicant is required to complete section D, the applicant should select “No” for question 4 of section D and type or print “EDA waiver of this requirement per FFO” in the “explain below” box.
7. Project Narrative. The Project Narrative should be submitted as an attachment in accordance with the instructions provided at www.grants.gov or submitted in hardcopy. It must be no more than 15 pages of double-spaced text (approximately 200 to 300 words per page), including any attachments but not including the cover page. The Project Narrative must provide for a five-year scope of work and for a timeline for implementation during the five-year project period. The Project Narrative must include the following items, which should be presented in the following format:
- a. Cover Page
 - b. Section 1. Program Focus

Identify the program focus of the University Center operator. Applicants should indicate whether the University Center will focus on supporting regional commercialization efforts, advancing entrepreneurship, or cultivating a high-skilled regional workforce. If the University Center will have more than one program focus, applicants should clearly indicate the anticipated percentage of time devoted to each focus.
 - c. Section 2. Service Region, Needs of Service Region, and Target Audience
 - (i) Define the geographic service region of the University Center. For purposes of this competition, a region is defined as “an economic unit of human, natural, technological, capital or other resources, defined geographically.” Geographic areas comprising a region need not be contiguous or defined by political boundaries, but should constitute a

- cohesive area capable of undertaking self-sustained economic development. *See* the definition of “region” in 13 C.F.R. § 300.3.
- (ii) Describe the service region’s industries and existing regional economic development strategy(ies). Applicants should clearly explain how proposed activities will advance the goals outlined in the regional economic development strategy. Applicants should also identify linkages between the regional strategies and the proposed University Center’s activities. Applicants are strongly encouraged to support any claims with independent, third-party data, regional strategy plans, and existing impact studies.
 - (iii) Describe the current state of the geographic service region’s economic ecosystem, including the regional talent pool, innovation infrastructure, and support systems to facilitate research commercialization and technology transfer, as well as the connections between these economic ecosystem components and regional economic development strategies. Identify the University Center activities that will assist the proposed service area in filling economic ecosystem gaps and achieving regional economic development goals that are part of the regional strategy(ies).
 - (iv) List existing partnerships with regional economic development stakeholders (e.g., regional planning organizations) and trade/export related entities (e.g., U.S. export assistance centers); and describe ongoing activities.
 - (v) Identify the target audience of the University Center (e.g., regional planning organizations, small businesses, etc.), especially the economically distressed areas of the service region.

d. *Section 3. Scope of Work and Anticipated Impacts and Results*

- (i) Present an overview of the scope of work, explaining how the proposed scope of work will address the specific economic ecosystem gaps identified in paragraph (c)(iii) above.
- (ii) Outline the specific activities to be undertaken by the University Center operator during the project period, including but not limited to providing technical assistance, conducting applied research, and disseminating information about the results of University Center’s economic development activities. For purposes of the University Center program, providing “technical assistance” includes all economic development activities undertaken at the request of an entity outside of the sponsoring institution (or consortium), or other activities to be directly pursued by the applicant or co-applicants to carry out the purposes of section 207 of PWEDA (42 U.S.C. § 3147). Conducting applied research means the direct use of research to address a specific challenge or meet a specific need to impact client-based decision-making and problem solving. Disseminating information about the activities of the University Center includes: (1) efforts taken to inform

the University Center's target audience of available assistance; (2) publicizing research findings and best practices; and (3) demonstrating to EDA how measurable economic development results are anticipated to be realized during the project period.

EDA-sponsored University Centers engage in various activities to support the economic ecosystem of a region, including targeted commercialization of research, workforce development, and business counseling services. Specific examples of such activities include:

- Assisting communities in identifying and defining their workforce talent pool and entrepreneurial capacity related to growing industrial clusters and growth strategies through strategic and sustainable economic development planning efforts;
- Supporting or accelerating technology commercialization and entrepreneurship by assisting in licensing and patenting activities;
- Supporting new product development by using student and faculty expertise and university laboratories and equipment to develop prototypes;
- Assisting existing businesses in increasing productivity and quality, streamlining operations, and cutting costs through the introduction or extension of advanced manufacturing, quality management, and other processes and techniques;
- Assisting entrepreneurs, tribal entities, local governments, District Organizations, and other private and public sector organizations with cutting energy costs, reducing their carbon footprint, and incorporating green building techniques or green manufacturing processes, as appropriate;
- Supporting business development strategies and enhancing profitability through marketing and sales techniques, new product development analysis, and identifying new markets (including international markets);
- Supporting the regional talent pool through workforce development, professional and leadership development, and core business training; and
- Assisting communities in addressing financial challenges through innovative financing techniques.

(iii) Identify the anticipated economic impacts and benefits to the University Center's service region, in particular the economically distressed regions previously identified and the target audience. Benefits may include but are not limited to:

- Private sector jobs to be created or retained;
- Investments of private sector capital;

- The percentage of University Center clients initiating action as a result of the technical assistance provided by the University Center;
- The percentage of University Center clients that achieve the anticipated results; and
- Any measures of results related to innovation, entrepreneurship, emerging and growing clusters, and sustainable economic development practices.

e. Section 4. Supporting Information

- (i) Discuss the sponsoring institution's (or consortium's) capacity and experience in successfully operating technical assistance programs, especially those focused on economic development. Applicants are encouraged to document specific results of past economic development activities and programs.
- (ii) Identify other organizations in the proposed service area that provide potentially complementary or duplicative services.
- (iii) Outline the process(es) or strategy(ies) the proposed University Center will follow to maximize coordination and interaction with relevant entities, such as District Organizations, Indian Tribes, Councils of Governments, Regional Planning Commissions, and other University Centers, to minimize duplication of services and provide services not currently available.
- (iv) Outline the process(es) or strategy(ies) for coordinating economic development efforts among private and public institutions in the proposed service area.
- (v) Outline the process(es) or strategy(ies) for coordinating and accessing key resources of the sponsoring institution (or consortium) to support economic development efforts.
- (vi) Discuss past performance in administering economic development technical assistance projects, if the applicant is an existing University Center operator.

f. Section 5. Project Fit with EDA's Priorities

Applicants must address the: (i) expected benefits of the proposed scope of work in light of EDA's support for the development and growth of regional innovation clusters and technology commercialization based on existing regional competitive strengths; (ii) expected impacts and benefits of efforts in distressed communities; (iii) use of both public and private sector resources and leveraging of complementary investments by other governmental or public entities or non-profit organizations; and (iv) extent to which the proposed project will engage EDA stakeholders, facilitate collaboration among urban, suburban, and rural (including Tribal) areas, provide stability for economic development through long-term

intergovernmental and public/private collaboration, and support the growth of existing and emerging industry clusters.

g. Section 6. Project Timeline

Applicants must submit a detailed five-year timeline for project implementation that includes significant project milestones and accomplishments.

8. Budget, Budget Narrative, and Staffing Plan

Applicants must submit Form SF-424A, which reflects the total budget proposed for the five-year project period. In addition, applicants must attach five separate itemized budgets—including columns reflecting the Federal, non-Federal cash, non-Federal in-kind, and total amounts allocated to each budget line-item—for each of the five years in the project period. Applicants should use the budget categories identified in “*Section B – Budget Categories*” of Form SF-424A, with sub-categories and explanations as necessary. The allowability of costs under a Federal award is determined in accordance with the provisions of 2 C.F.R. part 220, “*Cost Principles for Educational Institutions (OMB Circular A–21)*” or 2 C.F.R. part 230, “*Cost Principles for Non-Profit Organizations (OMB Circular A–122)*,” as applicable. Generally, allowable costs include salaries, supplies and other expenses that are reasonable, allocable, and necessary for successful completion of the scope of work.

- a. Budget Narrative. The budget narrative must describe and discuss each budget line-item over the entire five-year project period.
- b. Staffing Plan. In addition to the budget and budget narrative, applicants also must submit a staffing plan listing all positions that will be charged to the Federal and non-Federal portion of the budget for each year of the five-year project period. The staffing plan must include position titles, maximum annual salaries, and the total amount of annual salaries that would be charged to the project. The total amount of annual salaries that would be charged to the project must be consistent with the amount reflected on the “Personnel” budget line-item for each project year.
- c. Facilities and Administrative Costs. If facilities and administrative costs (sometimes referred to as indirect costs) are included in the budget, the applicant must include a copy of its current Facilities and Administrative Cost Rate Agreement or documentation establishing that it has a pending application. An applicant that does not have a current Facilities and Administrative Cost Rate Agreement negotiated and approved by the Department of Commerce (or by the applicable cognizant Federal agency) may propose facilities and administrative costs in its budget. However,

the applicant must prepare and submit a facilities and administrative cost allocation plan and rate proposal or a negotiated indirect cost rate as required by 2 C.F.R. part 220, “*Cost Principles for Educational Institutions (OMB Circular A–21)*” or 2 C.F.R. part 230, “*Cost Principles for Non-Profit Organizations (OMB Circular A–122)*,” as applicable. The allocation plan and the rate proposal must be submitted to the Department of Commerce’s Office of Acquisition Management (or applicable cognizant Federal agency) within ninety days from the award start date.

Subject to the limitation on facilities and administrative costs (sometimes referred to as indirect costs) set out in the paragraph below, the maximum dollar amount of allocable facilities and administrative costs for which EDA will reimburse a recipient shall be the lesser of the: (i) line-item amount for the Federal share of facilities and administrative costs contained in the EDA-approved budget for the award, or (ii) Federal share of the total allocable facilities and administrative costs of the award based on the cost rate approved by the Department of Commerce (or applicable cognizant Federal agency); provided that the cost rate is current at the time the costs were incurred and provided that the rate is approved on or before the award end date. *See* Paragraph 5 (Indirect Costs) of the *Department of Commerce Pre-Award Notification Requirements for Grants and Cooperative Agreements* (73 FR 7696, February 11, 2008). The applicant should include a statement in its budget narrative if the applicant does not have, or has not applied for, a Facilities and Administrative Cost Rate Agreement.

- (i) Funding Restrictions. As required under 13 C.F.R. § 306.6(d), at least 80 percent of EDA funding under a University Center program award must be allocated to direct costs of program delivery. Pursuant to 15 C.F.R. § 14.23(b), unrecovered indirect costs are not chargeable to the award without EDA’s express approval. Applicants should be aware that EDA will consider the cost to the Federal government under section V.A. of this FFO by examining the amounts allocated in the proposed budget used to deliver direct program activities (as opposed to the total budget which includes indirect costs).
- (ii) Program Income. If the operation of the University Center is expected to generate “program income,” such amounts must be accounted for in the project budget and must be added to those budget line-items pertaining to direct program delivery. Program income must be added to funds committed to the project, and must be used to further eligible program activities before expiration of the five-year project period or otherwise used as permitted under 15 C.F.R. § 14.24.

9. Organizational Summary and Résumés of Key Project Staff

Applicants must attach the résumés of key project staff, which generally should not exceed two pages in length (per résumé). Applicants also should provide a two-page summary description of all personnel (performing for the applicant) and contractors named in the application. Subject to the availability of funding, successful applicants under this competitive solicitation must follow the Federal rules of procurement prior to selecting or entering into vendor contracts.

Please note that if the applicant is a consortium, each member institution of the consortium must submit the following: Forms SF-424, SF-424B, CD-511, and SF-LLL, if applicable. For example, if a consortium of three institutions of higher education submitted an application package, a complete application package would consist of:

- a. Three Forms SF-424 (one for each consortium member);
- b. One Form SF-424A;
- c. Three Forms SF-424B (one for each consortium member);
- d. Three Forms CD-511 (one for each consortium member);
- e. Three Forms SF-LLL, if applicable (one for each consortium member that has or plans to use non-Federal funds for lobbying in connection with this competitive solicitation);
- f. One Form ED-900; and
- g. One Project Narrative and other required attachments.

C. Deadline for submissions

The closing date for receipt of applications for funding under the FY 2011 University Center Economic Development Program competition is June 30, 2011. The closing time is 5:00 p.m. CT for applications submitted to the Chicago Regional Office, and 5:00 p.m. ET for applications submitted to the Philadelphia Regional Office. Applicants must ensure that complete paper applications are physically received in the Chicago or Philadelphia Regional Office by 5:00 p.m. CT or 5:00 p.m. ET, as appropriate, on June 30, 2011. The closing date and time applies to paper and electronic submissions. The date and time that an application will be deemed to be electronically received will be determined in accordance with the electronic submission instructions provided at www.grants.gov for this FFO. See section IV.E.1. of this FFO for detailed information regarding electronic submissions. Applications received after the applicable closing date and time will not be considered for funding.

EDA will not accept any changes, additions, revisions, or deletions to applications after the closing date and time have passed. Throughout the review and selection process, EDA reserves the right to seek clarification in writing from applicants whose applications are being reviewed and considered. Applicants may be asked to clarify objectives and work plans and modify budgets or other specifics necessary to comply with Federal requirements and provide supplemental information required by the agency before award. In addition, the

Chicago or Philadelphia Regional Office may contact an applicant after technical review of all applications for the purpose of determining whether a proposed project can be completed with a modified scope of work acceptable to EDA or for a smaller budget than that proposed if EDA is unable to fund the full amount requested. *See also* section V. of this FFO for application review and selection information.

Applicants are strongly encouraged to start early and not to wait until the approaching due date before logging on and reviewing the instructions for submitting an application through www.grants.gov. Applicants should save and print written proof of an electronic submission made at www.grants.gov. If problems occur while using www.grants.gov, the applicant is advised to (i) print any error message received; and (ii) call www.grants.gov at 1-800-518-4726 for immediate assistance. EDA may allow more time for application submission due to system problems at www.grants.gov that are beyond the control of the applicant. *See* section IV.E.1. of this FFO for more information on electronic submissions.

D. Informational teleconferences

The Chicago Regional Office will hold an informational teleconference on April 18, 2011, at 10:00 a.m. CT. The Philadelphia Regional Office will hold an informational teleconference on April 11, 2011, at 10:00 a.m. ET. These teleconferences will provide general program information and information regarding the preparation of applications for funding under this competitive solicitation. To ensure the integrity of this competition, EDA will not provide substantive information regarding the competition to prospective applicants outside of these scheduled teleconferences.

To ensure that enough incoming lines are available for each caller, the Chicago Regional Office requires interested parties planning to participate on the teleconference to register no later than 5:00 p.m. CT on April 14, 2011; the Philadelphia Regional Office requires interested parties planning to participate on the teleconference to register no later than 5:00 p.m. ET on April 6, 2011. To register, please send an e-mail with “FY 2011 UC Teleconference Registration” in the subject line to the designated contact listed in section IV.E.2. of this FFO. The telephone number and pass code for each teleconference will be provided upon registration.

Please be advised that the informational teleconferences may be audio-taped and the actual recordings or a transcript of the actual recording may be made available online or otherwise for the benefit of prospective applicants unable to participate. Prospective applicants who participate on the teleconferences are deemed to consent to the taping.

E. Application submission format requirements

Applications may be submitted electronically in accordance with the procedures provided at www.grants.gov, or in paper format through the procedures provided in this FFO. The content of the application is the same for paper submissions as it is for electronic submissions. EDA will not accept transmissions of applications sent by facsimile or e-mail.

1. Electronic Submissions

EDA encourages applicants to submit applications electronically at www.grants.gov. Applicants should not wait until the application closing date to begin the submission process. In order to submit an application through www.grants.gov, applicants first must register for a www.grants.gov user id and password. Note that this process can take several days. Information about the www.grants.gov registration process can be found at http://www.grants.gov/applicants/get_registered.jsp. Applicants should register as organizations, not as individuals. Please note that organizations already registered with www.grants.gov do not need to re-register; however, all registered organizations must keep their Central Contractor Registration (CCR) database registration up-to-date and must designate the person submitting the application on behalf of the organization as an Authorized Organizational Representative (AOR). *See* section VII.E. of this FFO.

The following instructions provide step-by-step instructions for accessing, completing, and submitting an application via www.grants.gov.

- a. Navigate to the URL www.grants.gov.
- b. Select “Apply for Grants” from the left-hand menu at www.grants.gov.
- c. Ensure that you have installed Adobe Acrobat Reader 8.1.3 on your computer as other versions of Adobe Acrobat Reader may cause errors, whether those versions are older or newer.
- d. Select the link “Download a Grant Application” package.
- e. Enter ‘EDAFY2011UC’ as the Funding Opportunity Number and click on [Download Package].
- f. Click on the “Download” link.
- g. Click on “Download Application Package.”
- h. Save the application package to your computer or network drive. Note that the application package file can be shared among multiple users; however, each user must have Adobe Acrobat Reader 8.1.3 installed in order to save changes to the application package.
- i. Click on each of the documents in the “Mandatory Documents” box and, after selecting each one, click on the arrow to move these into the “Mandatory Documents for Submission” box.
- j. In the “Optional Documents” box, click on Form SF-LLL if non-Federal funds have been or are planned to be used for lobbying in connection with this competitive solicitation and then move this to the “Optional Documents for Submission” box. If you will submit your application via www.grants.gov, also click on “Attachments” and move this to the “Optional Documents for Submission” box. The Attachments Form allows applicants to attach the Project Narrative and other documents required as attachments under this competition. Note that if the applicant is not submitting electronically, the Project Narrative and other required attachments all must be printed and submitted to the applicable regional office contact in hardcopy.
- k. The application package should pre-populate with all selected forms embedded. Complete all mandatory fields (highlighted in yellow) on the

forms. Note that mandatory fields will vary based on the type of applicant and the type of assistance sought. On Form CD-511, type “not awarded yet” in the “project number” field. Save the application package at regular intervals to avoid losing work.

- l. Attach the Project Narrative and other required attachments. The preferred electronic file format (for the Project Narrative and any other required attachments) is portable document format (PDF); however, EDA will accept electronic files in Microsoft Word, WordPerfect, or Excel formats.
- m. When all mandatory fields have been completed, scroll to the top and click on [Check Package for Errors].
- n. Click [Save].
- o. Click [Save and Submit]. At this point, the applicant’s AOR must be connected to the Internet and will be prompted to enter the appropriate www.grants.gov user id and password in order to electronically submit the application.

Once an application is submitted, it undergoes a validation process through www.grants.gov in which the application may be accepted or rejected by the system. The process may take 24 to 48 hours to complete. Additionally, once an application is submitted, www.grants.gov may notify the applicant that the application contains an error. In this case, the applicant must correct the error before the system will accept and validate the application and it can be received by EDA. EDA will consider the date and time stamp on the validation generated by www.grants.gov as the official submission time.

Verify submission was successful. Applicants should save and print written proof of an electronic submission made at www.grants.gov. Applicants can expect to receive multiple emails regarding the status of their submission. Since email communication can be unreliable, applicants must proactively check on the status of their application if they do not receive email notifications within a day of submission. The first email should confirm receipt of the application, and the second should indicate that the application has either been successfully validated by the system before transmission to EDA or has been rejected due to errors. ***Please note that it can take up to two business days after www.grants.gov receives an application for applicants to receive email notification of an error.*** An applicant will receive a third email once EDA has retrieved an application.

Applicants should refrain from submitting multiple copies of the same application package. Applicants should save and print both the confirmation screen provided on the www.grants.gov website after the applicant has submitted an application, and the confirmation email sent by www.grants.gov when the application has been successfully received and validated in the system. If an applicant receives an email from www.grants.gov indicating that the application was received and subsequently validated, but does not receive an email from www.grants.gov indicating that EDA has retrieved the application package within 72 hours of that email, the applicant may contact the appropriate contact listed in section IV.E.2. to inquire if EDA is in receipt of the submission.

It is the applicant's responsibility to verify that its submission was received and validated successfully at www.grants.gov. To see the date and time your application was received, log on to www.grants.gov and click on the "Track My Application" link from the left-hand menu. For a successful submission, the application must be received and validated by www.grants.gov, and an agency tracking number assigned. If your application has a status of "Received" it is awaiting validation by www.grants.gov. Once validation is complete, the status will change to "Validated" or "Rejected with Errors." If the status is "Rejected with Errors," your application has not been received successfully. Some of the reasons www.grants.gov may reject an application can be found at http://www.grants.gov/applicants/submit_application_faqs.jsp. For more detailed information on why an application may be rejected, please access <http://www.grants.gov/section910/ApplicationErrorTips.pdf>.

Systems issues. If you experience a www.grants.gov "systems issue" (technical problems or glitches with the www.grants.gov website) that you believe threatens your ability to complete a submission, please (a) print any error message received and (b) call the www.grants.gov Contact Center at 1-800-518-4726 for immediate assistance. Ensure that you obtain a case number regarding your communications with www.grants.gov. *Please note:* problems with an applicant organization's computer system or equipment are not considered "systems issues." Similarly, an applicant's failure to (a) complete the registration, (b) ensure that an AOR submits the application, or (c) notice receipt of an email message from www.grants.gov, are not considered systems issues. A www.grants.gov "systems issue" is an issue occurring in connection with the operations of www.grants.gov itself, such as the temporary loss of service by www.grants.gov due to an unexpected volume of traffic or failure of information technology systems, both of which are highly unlikely.

Applicants should access the following link for assistance in navigating www.grants.gov and for a list of useful resources: <http://www.grants.gov/help/help.jsp>. Also, the following link lists frequently asked questions (FAQs): <http://www.grants.gov/applicants/resources.jsp#faqs>. If you do not find an answer to your question under the "Applicant FAQs," try consulting the "Applicant User Guide" or contacting www.grants.gov via email at support@grants.gov or telephone at 1-800-518-4726. The www.grants.gov Contact Center is open 24 hours a day, seven days a week.

2. Paper Submissions

A complete, signed original application may be sent via postal mail, shipped overnight, or hand-delivered to the Chicago or Philadelphia Regional Office. Department of Commerce mail security measures may delay receipt of United States Postal Service mail for up to two weeks. Therefore, applicants who submit paper submissions are advised to use a guaranteed overnight delivery service.

<p><i>If your proposed project is located in:</i> Illinois, Indiana, Michigan, Minnesota, Ohio, Wisconsin, or Muscatine and Scott counties in Iowa</p>	<p><i>Send your application to:</i> FY 2011 University Center Program Competition Economic Development Administration Chicago Regional Office 111 North Canal Street, Suite 855 Chicago, IL 60606-7208</p> <p><i>Designated Contact: Robin Bush, 312-353-8143, Rbush@eda.doc.gov</i></p>
<p><i>If your proposed project is located in:</i> Connecticut, Delaware, District of Columbia, Maine, Maryland, Massachusetts, New Hampshire, New Jersey, New York, Pennsylvania, Puerto Rico, Rhode Island, Vermont, Virginia, U.S. Virgin Islands, or West Virginia</p>	<p><i>Send your application to:</i> FY 2011 University Center Program Competition Economic Development Administration Philadelphia Regional Office The Curtis Center, Suite 140 South 601 Walnut Street Philadelphia, PA 19106-3821</p> <p><i>Designated Contact: Paul Matyskiela, 215-597-8733, PMatyski@eda.doc.gov</i></p>

V. **Application Review Information**

A. **Evaluation criteria**

Following a technical review (discussed in section V.B.1. of this FFO), a review panel will evaluate applications based on the following criteria. Each criterion is detailed below with an assigned weight. *See* section V.B. for information on the review and selection process.

1. **Responsiveness to the Objectives of this FFO (40%).** This section shall assess the extent to which the application:
 - **Proposes to provide service to a wide geographic area (10 points).** Priority will be given to applicants whose respective programs will offer the widest possible coverage in the Chicago or Philadelphia Regional Offices' geographic service areas;
 - **Describes how proposed activities will foster regional economic ecosystems (15 points).** Priority will be given to applications that clearly articulate how the proposed activities will advance research commercialization and foster a high-skilled workforce through providing technical assistance, conducting applied research, and disseminating information. Applicants are strongly encouraged to ensure that the proposed

activities are described as specifically as possible and help to advance the regional economic development goals.

- **Describes how proposed activities will drive regional economic development strategies and priorities (15 points).** Priority will be given to applicants that clearly identify existing regional strategies and indicate how the proposed activities will advance these economic development strategies and priorities.
2. Alignment with EDA's Funding Priorities (30%). In addition to meeting the requirements set out in this FFO, all EDA investments must satisfy at least one of the following key funding priorities. Applications that support more than one of the following funding priorities will receive more consideration:
- **Collaborative regional innovation (10 points).** Priority will be given to applications that support the development and growth of innovation clusters based on existing regional competitive strengths and strategies. Initiatives must engage stakeholders; facilitate collaboration among urban, suburban and rural (including Tribal) areas; provide stability for economic development through long-term intergovernmental and public/private collaboration; and support the growth of existing and emerging industries;
 - **National strategic priorities (10 points).** Priority will be given to applications that support job growth and business expansion in clean energy; green technologies; advanced manufacturing; information technology (e.g., broadband or smart grid) infrastructure; access to capital for small and medium sized and ethnically diverse enterprises; and innovations in science, health care, and alternative fuel technologies; and
 - **Global competitiveness (10 points).** Priority will be given to applications that propose activities that support high-growth businesses and innovation-based entrepreneurs to expand and compete in global markets.
3. Leverage Strategic Partnerships (20%). All applications will be evaluated to determine whether they represent a high return on investment, as measured by the:
- **Extent to which the proposed University Center will leverage regional public-private partnerships (5 points).** Priority will be given to proposed activities that will generate strong public-private support across the region, secure funds from private industry partners as part of the matching share, and leverage private funds;
 - **Extent to which the proposed University Center leverages other university assets that support regional economic ecosystems (5 points).** Priority will be given to applicants that clearly indicate how they will leverage

other university assets (such as economic analysis divisions, GIS capabilities, planning specialists, research centers, commercialization or technology transfer offices) to accomplish proposed activities;

- **Degree to which the proposed University Center and its activities build upon other initiatives (5 points).** Priority will be given to applications that clearly specify how the proposed activities will build upon the array of local, State, regional, Federal, and private sector economic development efforts occurring in the region; and
 - **Degree to which the proposed University Center will engage EDA stakeholders and partners (5 points).** Priority will be given to applicants that identify activities that will benefit other EDA investment partners and stakeholders. These projects may include technical assistance to EDA stakeholders, data analysis on clusters to strengthen the implementation and realization of regional strategic plans, and long-term inter-governmental and public/private sector planning efforts.
4. **Significantly Benefits Regions with Distressed Economies (10 points).** While all applicants must show how the proposed activities will benefit distressed areas within the applicable service region, EDA will give additional consideration to those applicants that provide concrete evidence outlining how their proposed programs are especially well designed to significantly benefit distressed areas. As discussed in section I.B. of this FFO, distress may be defined by areas experiencing high levels of unemployment, low income levels, large concentrations of low-income families, or significant declines in per capita income because of large numbers (or high rates) of business failures, sudden major layoffs or plant closures, military base closures, natural or other major disasters, depletion of natural resources, reduced tax bases, or substantial loss of population because of the lack of employment opportunities.

All applicants are expected to provide a clear and detailed explanation as to how the proposed project meets EDA's evaluation criteria and are strongly encouraged to support any claims with independent, third-party data or information, where possible. For example, an applicant proposing technical assistance to help businesses develop and expand into overseas markets via a business incubator or technology-based economic development center, should include a detailed explanation as to how the applicant will assist its clients (start-ups or existing businesses) to expand to international markets. EDA will consider applications that support such explanations with relevant data, including performance measures and deliverables, as more competitive than those that do not.

B. Review and selection process

As noted above, throughout the review and selection process, EDA reserves the right to seek written clarification from applicants whose applications are being reviewed and

considered. Applicants may be asked to clarify objectives and work plans, and modify budgets or other specifics necessary to comply with Federal requirements. Applicants also may be asked to provide supplemental information that is required by the agency before making an award.

1. Technical Review

A complete application must contain all the items listed in the Checklist of Application Materials attached as an Exhibit to this FFO. Staff in the Chicago or Philadelphia Regional Office, as applicable, will undertake a technical review of each application to ensure that all required forms, signatures and documentation are present and that the application is in compliance with the technical requirements set out in this FFO. Applications failing to meet the technical requirements may be deemed non-responsive and excluded from further consideration. EDA expects all applicants to complete and include all required forms and documentation. However, EDA in its sole discretion reserves the right to consider timely and otherwise complete applications that may contain non-substantive technical deficiencies.

2. Review Panel and Investment Review Committee

The Chicago and Philadelphia Regional Offices will convene a panel to review the merits of each application advanced after completion of the technical reviews. The review panel will consist of Federal employees and may include others recommended by the Regional Director of the applicable regional office. At least three members of each review panel will be EDA staff members. The review panel will evaluate and rate and rank competitively all technically sufficient applications based on the evaluation criteria listed in section V.A. of this FFO.

Each review panel's ratings and rankings will be presented to the Chicago or Philadelphia Regional Office's Investment Review Committee (IRC), as appropriate. After reviewing the panel's process and recommendations, the IRC may either (i) forward the panel's ranking list, to the Selecting Official (defined below), or (ii) identify any deficiencies in the review process and direct the review panel (or convene a new panel) to begin the process anew. If directed by the IRC to re-evaluate the applications, the review panel will undertake the process again and submit a revised rating and ranking of the applications to the IRC.

C. Selecting Official and selecting factors

The Regional Director of the applicable regional office is the Selecting Official for the applications received from applicants located within that regional office's geographic service area.

EDA expects to fund the highest ranking applications. The Selecting Official will normally follow the recommendations of the review panel; however, the Selecting Official

may decide not to make a selection, or he may select an application out of rank order for several reasons, including:

1. A determination that the application better meets the overall objectives of sections 2 and 207 of PWEDA (42 U.S.C. §§ 3121 and 3147, respectively);
2. Availability of program funding;
3. Geographic balance in distribution of program funds;
4. Balanced funding for a diverse group of institutions, to include smaller and rural institutions, which may form part of a broader consortium to serve diverse populations and areas within the regional office's territory;
5. The program objectives as provided in section I. of this FFO;
6. The applicant's performance under previous Federal financial assistance awards; or
7. The overall mix of services, services areas, and target audiences in the regional office's University Center portfolio.

The Regional Director's final decision must be consistent with EDA's and the Department of Commerce's published policies. Anytime the Selecting Official makes a selection out of rank order, he will document the rationale for the decision in writing. As part of the selection process, EDA reserves the right to seek clarifications in writing from applicants for those applications deemed to have highest merit in order to facilitate the selection process.

D. Intergovernmental review

Applications for funding under the University Center Economic Development Program are subject to the State review requirements imposed by Executive Order 12372, "*Intergovernmental Review of Federal Programs*" where this requirement is applicable.

VI. Award Administration Information

A. Award notification

The Selecting Official (who also serves as the Grants Officer) will issue the grant award (Form CD-450), which is the authorizing financial assistance award document. By signing the Form CD-450, the recipient agrees to comply with all award provisions. The grant award is submitted by postal mail or overnight delivery service to the appropriate business office of the recipient organization and must be signed and returned without modification by an authorized representative of the recipient within 30 days of receipt. Subject to the availability of funding, successful applicants should expect to receive grant award packages within approximately 60 days from the application closing date and time(s) set out in this FFO. The anticipated award will be for a period of five years with an initial funding period of twelve-months and an estimated start date on or about August 1, 2011.

Unsuccessful applicants will be notified that their applications were not selected for funding. Unsuccessful applications will be retained by the applicable EDA regional office for one year, after which they will be destroyed.

B. Unsuccessful competition

On occasion, competitive solicitations or competitive panels produce less than optimum results, such as a competition resulting in the receipt of no applications or a competition resulting in the receipt of only unresponsive or unqualified applications. In the event that these conditions arise, EDA shall take the most time and cost-effective approach available that is in the best interest of the Federal government. This includes but is not limited to (1) re-competition, (2) re-paneling, or (3) formal negotiation.

C. Administrative and national policy requirements

Administrative and national policy requirements for all Department of Commerce awards are applicable to this competitive solicitation. These requirements may be found in the *Department of Commerce Pre-Award Notification Requirements for Grants and Cooperative Agreements*, published in the *Federal Register* on February 11, 2008 (73 FR 7696). This notice may be accessed on the Government Printing Office's Federal Digital System site, which is located at <http://www.gpo.gov/fdsys/>.

D. Reporting requirements

All recipients are required to submit financial and performance (technical) reports in accordance with the terms and conditions of the grant award. All financial reports must be submitted to the appropriate EDA regional office, preferably in electronic format.

E. Uniform administrative requirements and Federal cost principles

The administrative and general requirements for EDA awards are set forth in 13 C.F.R. parts 300–302. Specific application and award requirements for the University Center Economic Development Program are provided in subpart B of 13 C.F.R. part 306. The uniform administrative requirements for Department of Commerce grants and cooperative agreements are codified at 15 C.F.R. parts 14 and 24. EDA allowable costs are determined in accordance with the following regulations (incorporated by reference at 15 C.F.R. parts 14 and 24):

1. 2 C.F.R. part 220, *Cost Principles for Educational Institutions (OMB Circular A-21)*;
2. 2 C.F.R. part 225, *Cost Principles for State, Local and Indian Tribal Governments (OMB Circular A-87)*;
3. 2 C.F.R. part 230, *Cost Principles for Nonprofit Organizations (OMB Circular A-122)*; and
4. Federal Acquisition Regulation Subpart 31.2, *Contracts with Commercial Organizations*, codified at 48 C.F.R. § 31.2.

Applicable administrative requirements and Federal cost principles are incorporated by reference into the terms and conditions of each EDA award.

F. OMB Circular A-133 audit requirements

Single or program-specific audits shall be performed in accordance with the requirements contained in OMB Circular A-133, “*Audits of States, Local Governments, and Non-Profit Organizations*,” and the related *Compliance Supplement*. OMB Circular A-133 requires any non-Federal entity (i.e., non-profit organizations, including non-profit institutions of higher education and hospitals, States, local governments and Indian Tribes) that expends Federal awards of \$500,000 or more in the recipient’s fiscal year to conduct a single or program-specific audit in accordance with the requirements set out in the Circular.

Applicants are reminded that EDA or the Department of Commerce’s Office of Inspector General also may conduct an audit of an award at any time.

VII. Additional Information and Requirements

A. Agency contacts

For more information regarding this competitive solicitation, prospective applicants may contact the applicable designated contact listed in section IV.E.2. of this FFO. E-mail is the preferred method of communication. EDA’s website at www.eda.gov also has information on EDA and its programs, including the University Center program.

B. No obligation for future funding

If an applicant is awarded funding, neither the Department of Commerce nor EDA is under any obligation to provide any additional future funding in connection with that award or to make any future award(s). Amendment or renewal of an award to increase funding or to extend the period of performance is at the discretion of the Department of Commerce and of EDA.

C. Freedom of Information Act disclosure

The Freedom of Information Act (5 U.S.C. § 552) (FOIA) and the Department of Commerce’s implementing regulations at 15 C.F.R. part 4 set forth the rules and procedures to make requested material, information and records publicly available. Unless prohibited by law and to the extent permitted under FOIA, contents of applications submitted by applicants may be released in response to FOIA requests.

D. Past performance and non-compliance with award provisions

Unsatisfactory performance under prior Federal awards may result in an application not being considered for funding. Failure to comply with any or all of the provisions of an award may have a negative impact on future funding by the Department of Commerce (or

any of its operating units) and may be considered grounds for any or all of the following actions: (1) establishing an account receivable; (2) withholding payments to the recipient under any Department of Commerce award(s); (3) changing the method of payment from advance to reimbursement only; (4) imposing other special award conditions; (5) suspending any active Department of Commerce award(s); and (6) terminating any active Department of Commerce award(s).

E. Universal Identifier, and Central Contractor Registration Requirements and Reporting under the Transparency Act

1. DUNS Numbers and CCR Registration

All applicants for Federal assistance are required to obtain a universal identifier in the form of Dun and Bradstreet Data Universal Numbering System (DUNS) numbers and maintain a current registration in the CCR database. Per the requirements of 2 C.F.R. part 25, each applicant must:

- a. Be registered in the CCR before submitting an application;
- b. Maintain an active CCR registration with current information at all times during which it has an active Federal award or an application under consideration by an agency; and
- c. Provide its DUNS number in each application or plan it submits to the agency.

Please see also the *Federal Register* notice published on September 14, 2010, at 75 FR 55671.

2. Reporting Under the Transparency Act

All recipients of Federal awards made on or after October 1, 2010, are required to comply with reporting requirements under the Federal Funding Accountability and Transparency Act of 2006 (Transparency Act) per the requirements of 2 C.F.R. part 170. Generally, all recipients are responsible for reporting sub-awards of \$25,000 or more. In addition, recipients that meet certain criteria are responsible for reporting executive compensation. Applicants must ensure they have the necessary processes and systems in place to comply with the reporting requirements should they receive funding. Please see also the *Federal Register* notice published on September 14, 2010, at 75 FR 55663.

**FY 2011 University Center Economic Development Program Competition
Chicago and Philadelphia Regional Offices**

EXHIBIT - CHECKLIST OF APPLICATION MATERIALS

This checklist identifies the forms and materials required for a complete application under this competitive solicitation. Applicants should carefully read the application and submission information provided in section IV. of this FFO.	
Project Narrative (maximum length of 15 pages of double-spaced text)	
	Cover Page
	<i>Section 1. Program Focus</i>
	<i>Section 2. Service Region, Needs of Service Region and Target Audience</i>
	<i>Section 3. Scope of Work and Anticipated Impacts and Results</i>
	<i>Section 4. Supporting Information</i>
	<i>Section 5. Project Fit with EDA's Priorities</i>
	<i>Section 6. Project Timeline</i>
Budget and Budget Narrative	
	Budget
	Budget Narrative
	Staffing Plan
	Facilities and Administrative Cost Rate Agreement, Negotiated Indirect Cost Rate, or Statement of No Existing Agreement (applicable only if facilities and administrative costs are included in the project budget)
Organizational Summary and Résumés of Key Project Staff	
	Summary Description of All Personnel and Contractors Named in the Application
	Résumés of Key Project Staff
Form ED-900--Application for Investment Assistance (including attachments and supporting documentation)	
Standard Forms (SF) and Department of Commerce (CD) Forms	
	Form SF-424 - <i>Application for Federal Assistance*</i> , **
	Form SF-424A - <i>Budget – Non-Construction Programs</i>
	Form SF-424B - <i>Assurances – Non-Construction Programs**</i>
	Form CD-346 - <i>Applicant for Funding Assistance</i> (if applicable)
	Form SF-LLL - <i>Disclosure of Lobbying Activities</i> (if applicable)**
	Form CD-511 - <i>Certification Regarding Lobbying**</i>
* The list of certifications and assurances referenced in Item 21 of Form SF-424 is contained in Form SF-424B.	
** If the applicant is a consortium, each member institution of the consortium must submit the following: Form SF-424, Form SF-424B, Form CD-511, and (if applicable) Form SF-LLL.	